

Our Complaint Handling Procedure

At Charles Stanley and Charles Stanley Direct, which are both trading names of Raymond James Wealth Management Limited, we are committed to delivering the highest possible standard of service to our clients.

However, we recognise that even in the best-run companies, things can occasionally go wrong.

This may happen due to a simple misunderstanding, or sometimes as a result of an error or oversight.

If you are dissatisfied with any aspect of the service that you have received and wish to raise a complaint, please let us know. We will always aim to address your concerns as quickly and fairly as possible. If something has gone wrong, we welcome the opportunity to correct the matter and put things right for you. Your feedback helps us understand your experience, learn from it and continue to improve the services we provide.

Raising a complaint

We encourage you to first discuss your concerns with your usual point of contact at Charles Stanley or, if applicable, with Charles Stanley Direct. Many issues can be resolved promptly and informally in this way. If the matter cannot be resolved straight away or it requires more investigation, your complaint will be referred to the Complaints Team, who will handle your complaint formally.

Alternatively, you can contact the Complaints Team at Raymond James Wealth Management Limited directly, using the following contact details.

Complaints Team

Raymond James Wealth Management Limited
25 Ropemaker Street
London, EC2Y 9LY
complaints@charles-stanley.co.uk
020 7739 8200

If you are concerned about the cost of the call, please let us know and we will be happy to arrange a call back. If you need us to make any adjustments to the way in which we communicate with you about your complaint, please let us know at your earliest convenience.

Once we receive your complaint

1. If someone else is raising a complaint on your behalf, we may need to contact you directly to confirm they have your authority to do so.
2. If we cannot resolve your complaint straight away, we aim to acknowledge your complaint within five business days. Our acknowledgment will summarise our understanding of your complaint. If appropriate, we may ask you to provide further information to assist with our investigation at this stage.
3. If we believe another firm is responsible for the complaint, we will forward it to them in writing and inform you we have done so. If we feel that the other firm is jointly responsible, we will inform you of the referral, provide the relevant contact details, and continue our investigation
4. It is our aim to resolve complaints as quickly as possible. However, some complaints may take longer to investigate than others. Please note that, in line with the regulatory rules, we have up to eight weeks (from when we receive a complaint) to issue our final response.
5. If our investigation is still ongoing after four weeks from receiving your complaint, we will update you on our progress. At this stage, we will aim to keep you informed and manage your expectations, although we may not be able to provide you with a specific completion date for our investigation.
6. We will write to you if we are unable to fully respond to your complaint within eight weeks of receiving your complaint., We will explain why the reasons for the further delay, and to let you know when we expect to be able to send you our final response.

We will also inform you of your rights to refer your complaint to the Financial Ombudsman Service and provide you with all the relevant details on how to do so.

7. Once we have completed our investigation, we will send you a final response to your complaint. Our final response will include:
- a summary of our investigation and findings,
 - our decision and our rationale behind it,
 - if relevant, details of the any proposed compensation and/or remedial action,
 - information about your right to refer your complaint to the Financial Ombudsman Service, which, if you remain dissatisfied, you must do so within six months from the date of the final response.